
Strategy and Resources

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Strategy and Resources

200. INTRODUCTION. Strategic art is the essence of joint operation planning. Without mastery of strategic art, the joint operation planner cannot craft military plans that are in synergy with the strategic goals of the United States. This nonaligned or uncoordinated approach to joint operation planning will most likely result in the failure to achieve strategic objectives of any operation undertaken. But what is strategic art? Lieutenant General Richard A. Chilcoat defined it in 1996 as the skillful balancing of ends (objectives), ways (courses of action), and means (resources). While this technical definition may appear simple, history holds many examples of militaries, states, and leaders who failed because of lack of understanding and application of strategic art. Understanding how to *correctly select, successfully align, and then artfully implement ends, ways, and means* requires significant thought and study.

(a) JPME Phase I addresses the strategic, operational, and tactical levels of war. Being able to translate strategic objectives set by the NCA into operation plans that will support and achieve those objectives is one of the primary missions of the CINCs. **Figure 2-1** illustrates how the CINC must be the master of strategic art so as to give the

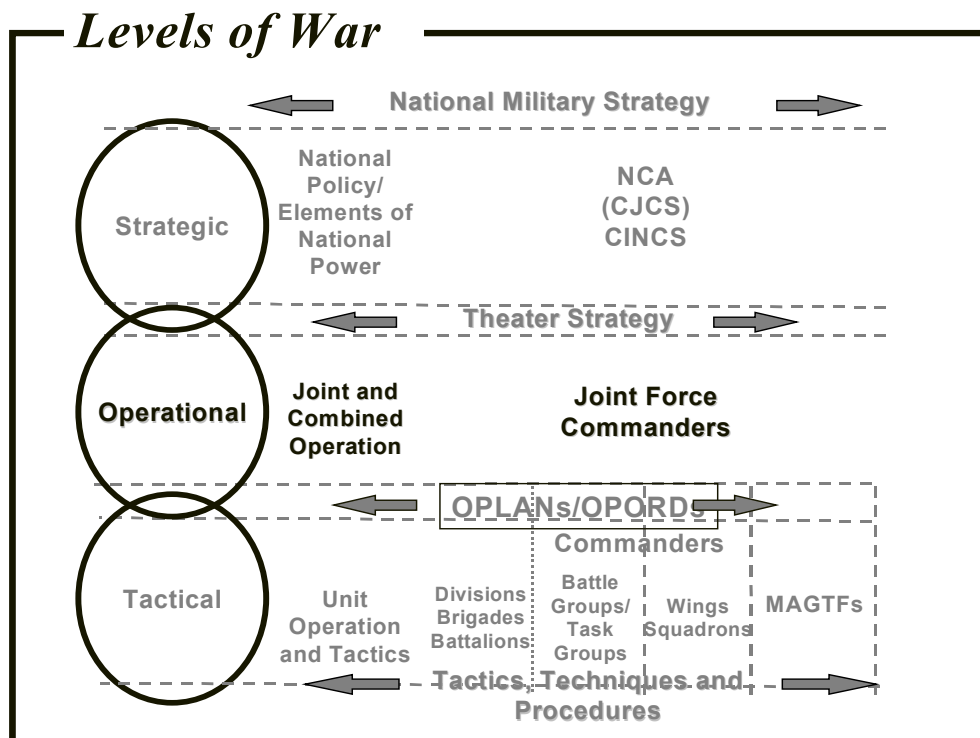


Figure 2-1

planners of the operational and tactical levels of war adequate guidance so that all the elements of military power are working in concert for one purpose. Today, there are those who argue that the CINC is no longer a translator of strategic objectives, since the operational and tactical levels of war have in essence become subsumed in the strategic level. **Figure 2-2** illustrates this theory. With access to information so pervasive throughout all military operations (be it on the battlefield or in the halls of the Pentagon), it is now argued that even a “tactical” action by any military member can have strategic results. It is incumbent on the joint operation planner to have considered all of the politico-military aspects of an operation, and then craft plans that enable participants at all levels of war to understand the synergy required to achieve the nation’s objectives.

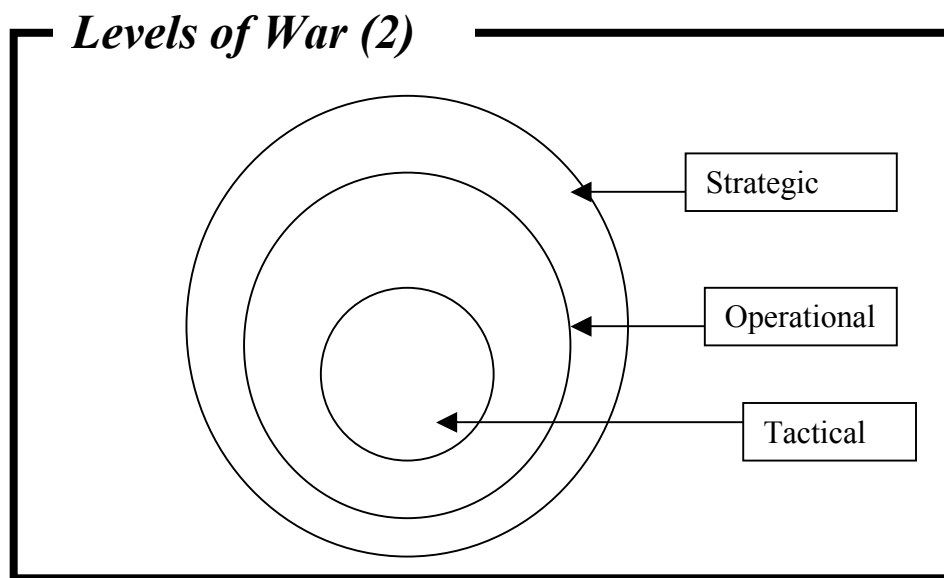


Figure 2-2

(b) Strategic art requires that the joint operation planner can never again think only in terms of “military” plans, but instead in terms of “politico-military” plans. This is not to say that military planners should compromise plans that offer the best possible military solution to a problem. But it does mean that the political consequences of a military action must be well thought out. An excellent example of this mastery of the politico-military realm of strategic art is what occurred during Operation JUST CAUSE in Panama. Because the JTF commander understood both the political and subsequent military consequences of killing large numbers of the Panamanian Defense Force (PDF), the commander of JUST CAUSE chose to use a combination of PSYOP and well-placed munitions to encourage surrender of the PDF. It might well have been easier to bomb their barracks and annihilate the PDF, but the politico-military results would have been disastrous (an angered populace, a void left in law enforcement). Consider the table below:

Level of Politico-Military Concern

| | |
|-------------------|-------|
| POLITICO-military | (P-m) |
| POLITICO-MILITARY | (P-M) |
| politico-MILITARY | (p-M) |
| politico-military | (p-m) |

A joint operation planner must be able to deftly craft plans that will succeed according to the level of politico-military concern. “P-m” signifies an environment wherein the political concerns may well override military concerns (pre-hostilities, post-hostilities, and peacetime resource acquisition). “P-M” signifies an environment wherein the military and political maneuvering is robust (lodgment, FDO). The “p-M” level indicates an environment where the military concern is paramount (decisive engagement, completely deteriorated diplomatic situation). The “p-m” level signals that other elements of national power (economic and informational elements) are paramount and that operation plans need to be crafted so as to support other efforts. The joint operation planner must master translating strategic ends into operational ways and means, while at the same time incorporating the correct balance of the politico-military level of concern. Doing so will result in the proper application of strategic art and ultimately in the continued security of the United States.

201. DEFENSE DEPARTMENT SYSTEMS

a. **Introduction.** At both national and departmental levels, various processes and systems have been developed to handle the complex problems of setting strategic direction, determining national military policy, requesting resources to execute that policy, and translating the funded military capability into military operations. The joint planning process is one link in a long and complex chain. This chapter describes many of the systems that joint staff officers need to understand in order to be effective in their role as joint operation planners.

b. **Background.** Before focusing on the processes or systems used by DOD for joint planning and operations, one needs to set the stage. Since the primary goal is to be able to relate the systems to the joint arena, the background of the study is a basic understanding of the joint purpose these systems serve. The purpose of joint operation planning is to use the military element of national power effectively to protect and further U.S. interests; in that endeavor, the U.S. national security strategy is the starting point for joint planning. Joint planning is a process, a systematic series of actions or procedures, used by a commander to determine the best method of accomplishing assigned tasks. The following, though not all-inclusive, lists the basic systems that affect joint planning and operations:

- National Security Council (NSC) System
- Planning, Programming, and Budgeting System (PPBS)
- Joint Strategic Planning System (JSPS)
- DOD Acquisition System
- Command, Control, Communications, and Computer (C4) Systems
- National Communications System
- Defense Communications System
- Joint Operation Planning and Execution System (JOPES)
- C4I for the Warrior (C4IFTW)
- Global Command and Control System (GCCS)

202. NATIONAL SECURITY COUNCIL SYSTEM

References: National Security Act of 1947, as amended
 NSDD 2, “National Security Council Structure,” dated 12 January 1982
 PDD-2/NSC, “National Security Council Organization,” dated 20 January 1993
 Joint Staff Manual 5715.01, *National Security Council Affairs*, dated 1 December 1994

a. **Function.** The National Security Council (NSC) was established by the National Security Act of 1947 as the principal forum to consider national security issues that require presidential decision. Congress envisioned that the NSC would allow military and civilian government departments and agencies to work more effectively together on national security matters. The law determines the functions and scope of the NSC. Some of the functions that are salient to joint planners are to advise the President concerning the integration of domestic, foreign, and military policies relating to the national security; to assess and appraise the objectives, commitments, and risks of the United States concerning its actual and potential military power; and to consider policies on matters of common interest to the departments and agencies of the Government concerned with national security for the purpose of making recommendations to the President. Although the statutory functions of the NSC have remained essentially unchanged since the mid-1950s, its composition, influence, and schedule of meetings have varied considerably with each President, the personality of his key advisers, and the President’s view of the organization.

b. Organization

(1) In 1949 the NSC was placed in the Executive Office of the President. It includes only four statutory members: the President, the Vice President, the Secretary of State, and the Secretary of Defense. The Chairman of the Joint Chiefs of Staff (CJCS) and the Director of Central Intelligence are specified as statutory advisers only. Addi-

tional members specified in PDD-2/NSC are the Secretary of the Treasury, the Representative to the United Nations, the Assistant to the President for National Security Affairs (the “National Security Adviser”), the Assistant to the President for Economic Policy, the Chief of Staff to the President, and the United States Attorney General. The National Security Adviser is responsible for the day-to-day operation of the council and the inter-agency coordination. Statutory members and advisers, and other members of the NSC specified by PDD-2/NSC, attend all meetings of the council. Other senior officials not included as members may be invited to attend meetings, depending on the topics being discussed. Subordinate elements of the NSC include the following:

(a) *The National Security Council Principals Committee (NSC/PC)*, a cabinet-level senior interagency forum for consideration of national security policy issues and resolution of issues not requiring the President’s participation. CJCS, or in his absence VCJCS, attends these meetings.

(b) *The National Security Council Deputies Committee (NSC/DC)*, the senior subcabinet-level interagency forum for national security policy issues. The NSC/DC reviews and monitors the work of the NSC interagency coordination process (including the Interagency Working Groups (IWG)), and focuses much of its attention on policy implementation. VCJCS attends these meetings.

(c) *The NSC/DC Crisis Management (NSC/DC/CM)* group, responsible for day-to-day crisis management and crisis prevention, including contingency planning for major areas of concern. VCJCS attends these meetings.

(d) *The NSC Interagency Working Groups (NSC/IWG)*, which convene regularly as determined by the Deputies Committee, and review and coordinate implementation of Presidential decisions in their policy areas. The Assistant to the Chairman or the J-directors or their deputies attend these meetings.

(e) *The Interagency Working Groups/Subgroups (IWG Subgroups)* meet under the sponsorship of the IWG to develop background material, review working papers, and discuss and develop policy options on national security issues, including those arising from the implementation of NSC decisions. The Joint Staff division chief or action officer (AO) with functional responsibility for these issues represents CJCS at these meetings.

(2) NSC Documents. NSC documents are established to inform U.S. Government departments and agencies of presidential actions:

(a) Presidential Decision Directive (PDD/NSC). The PDD series is used to publish presidential decisions on national security matters. All PDDs in this series are individually identified by number and signed by the President.

(b) Presidential Review Directive (PRD/NSC). This series of directives is the mechanism for directing the reviews and analysis of an assigned topic to be undertaken by the departments and agencies. All PRDs in this series are identified by number and signed by the Assistant to the President for National Security Affairs. Upon completion of staffing, a PRD often becomes a PDD.

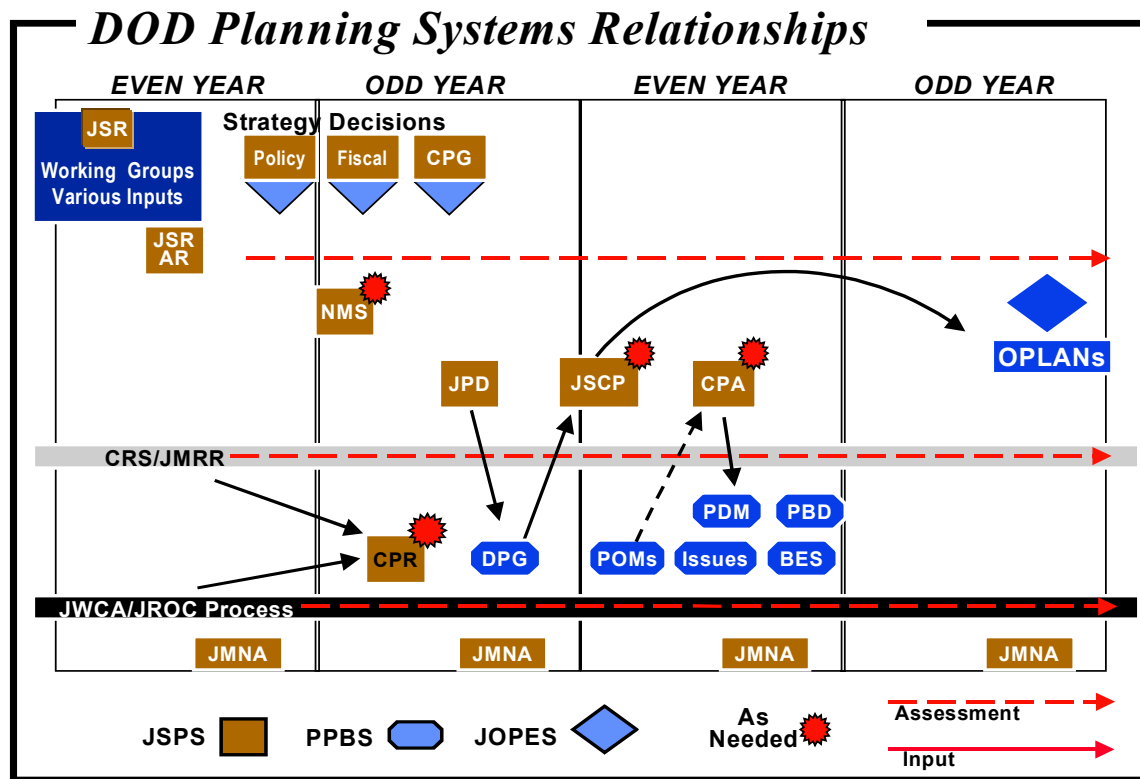
203. DEFENSE RESOURCES MANAGEMENT – A JOINT PERSPECTIVE

References: CJCSI 3100.01A, “Joint Strategic Planning System,” dated 1 September 1999
 CJCSI 8501.01, “Chairman of the Joint Chiefs of Staff, Commanders in Chief of the Combatant Commands, and Joint Staff Participation in the Planning, Programming, and Budgeting System,” dated 1 April 1999
 CJCSI 3137.01A, “The Joint Warfighting Capabilities Assessment Process”, dated 22 January 1999
 CJCSI 3401.01B, “Chairman’s Readiness System”, dated 1 July 1999

a. Introduction

(1) The purpose of the Department of Defense (DOD) Planning, Programming, and Budgeting System (PPBS) is to produce a plan, a program, and a two-year budget for the DOD with the ultimate objective of furnishing the combatant commanders with the best mix of forces, equipment, and support attainable to meet the current and future threat within fiscal constraints. The Joint Strategic Planning System (JSPS) is the formal means by which CJCS, in consultation with the other members of the Joint Chiefs of Staff and the combatant commanders, discharges his legally mandated responsibility to give strategic plans and direction to the Armed Forces of the United States and to interact with the other DOD systems. The JSPS establishes the formal process for review of the national security environment and U.S. national security objectives; threat evaluation; assessment of current strategy and existing or proposed programs and budgets; and proposal of military strategy, programs, and forces necessary to achieve national security objectives. See **Figure 2-3**.

(2) Taken together, the JSPS, PPBS, JWCA, CRS as well as other related systems have the combined purpose of furnishing the best possible mix of missions, forces, equipment, and support to the combatant commanders so that they may conduct day-to-day operations in support of the national strategy. For the joint operation planner to effectively discharge his or her duties, these systems must not be viewed as unrelated, nor should each part be viewed independently. These systems, and the parts they comprise, must be viewed as a system of systems. A change in any individual part or process will most likely create an impact (no matter how small or large) across the entirety of all involved systems. Any joint officer who understands the intricacies of this system of systems will be able to develop the most efficient and effective ways (courses of action), and



acquire the most appropriate means (resources) for meeting ends (objectives) that are in concert with the national strategy of the United States. Viewed in this manner (see **Figure 2-4**), the entire process is interrelated. It is important to note that the planning sequence allows continuous assessment, giving it the flexibility needed to accommodate today's rapidly changing global environment.

(3) The following paragraphs discuss parts of these related systems. Each part is categorized under the heading of either planning, programming or budgeting. These three subcategories more easily allow the joint officer to grasp this complex system of systems. Those processes or parts under the subcategory of planning refer to documents or processes that contain strategic and operational guidance for accomplishing tasks, now and in the future. Those parts under the subcategory of programming influence the military departments, USSOCOM, the Joint Staff, and Defense agencies in the development of their programs. Finally, those processes listed under budgeting represent how DOD establishes the final estimated costs for the President's budget.

b. Planning

(1) **Joint Strategy Review (JSR)-JSPS.** The Joint Strategy Review (JSR) **assesses the strategic environment** for issues and factors that affect the national military

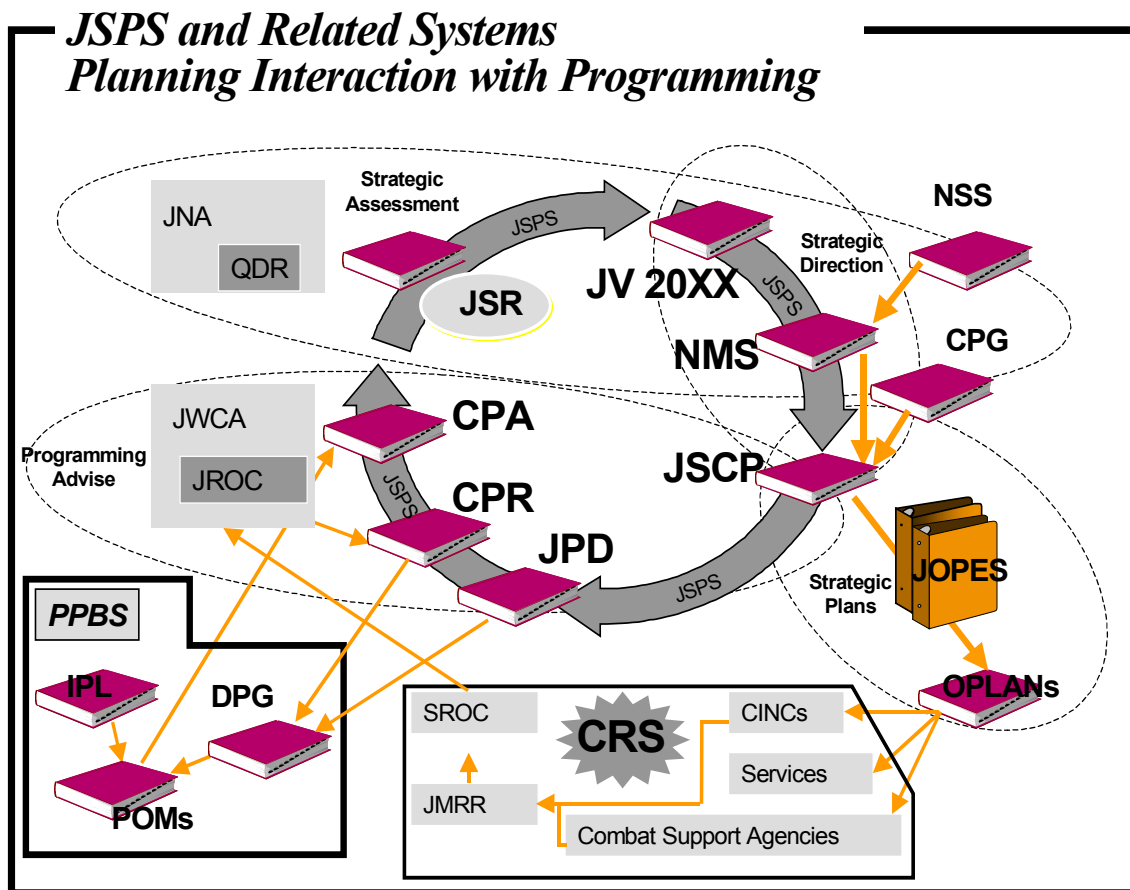


Figure 2-4

strategy in the near and long term. The JSR is the JSPS process for continuously gathering information and examining current, emerging, and future issues, threats, technologies, organizations, doctrinal concepts, force structures, and military missions. Throughout the process current strategy, forces, and national policy objectives are reviewed and assessed. **The JSR facilitates the integration of strategy, operation planning, and program assessment.** When significant changes in the strategic environment are identified, JSR Issue Papers are prepared. These papers are initial discussions of proposed changes to the National Military Strategy (NMS), the Joint Planning Document (JPD), and the Joint Strategic Capabilities Plan (JSCP).

(a) **JSR Working Groups.** JSR working groups, consisting of representatives from the Joint Staff, the Services, and the combatant commands, continuously review the international and domestic environment for trends and changes that should be incorporated into long-, mid-, and near-term U.S. strategic thinking. The intent is to include officers from the Services and combatant commands in the working groups to expand participation in the strategy development process.

(b) **JSR Issue Papers.** JSR Issue Papers report, and, when appropriate, publish changes in the strategic environment significant enough to warrant senior leadership review. When a significant change in the strategic environment is identified, a JSR Issue Paper is sent to CJCS, the Service Chiefs, and the combatant commanders. Continual assessment of the strategic environment gathers information needed to determine whether revisions to other JSPS documents are needed.

(c) **JSR Annual Report.** The JSR Annual Report summarizes issues studied over the previous year and recommends any changes to the National Military Strategy as a result of those issues. The JSR Annual Report is published by 1 August annually.

(d) **Long-Range Vision Paper.** The Long-Range Vision Paper is published when needed and examines plausible future environments 14 years beyond the Future Years Defense Plan (FYDP) period. Its purpose is to help determine future national security needs for the long term, offering a means to study the implications of those future environments on the NMS, joint doctrine, force structure and requirements.

(e) **JSR Support Responsibilities.** The following assigned responsibilities support the Joint Strategy Review Process.

- The Director, DIA, prepares baseline intelligence assessments, strategic planning advice, and an analysis of force structure to support the JSPS as well as the development of the NMS, JPD, JSCP, CPA and other strategic planning or assessment documents. The Joint Staff, combatant commanders, Services, and Defense agencies use these biennial threat assessments, focused on specific time periods, as a baseline for intelligence planning. The threat assessment is prepared in three parts, limited to the length necessary to summarize security interests as they relate to the NMS.

- Parts One and Two support development of strategic plans, assessments, and environments beyond the FYDP, including the long-term acquisition policy of DOD and the Joint Requirements Oversight Council (JROC).

- Part Three supports development of such documents as the Joint Strategic Capabilities Plan (JSCP) and the Joint Military Net Assessment (JMNA). In consonance with the priorities listed in PDD-35, “The Enduring Challenges Document,” the JSR broadly assesses regional and global issues, including military forces and capabilities; proliferation, particularly of weapons of mass destruction; science and technology; defense economics and associated industrial infrastructure; military-political-sociological conditions; regional instability; terrorism; narcotics; command, control, communications, and computers; humanitarian concerns; and foreign intelligence and security service activities and collection activities by non-government organizations. Preparers of Part Three use regularly produced intelligence reports such as the National Intelligence Estimates, and Defense Intelligence Reports and Appraisals.

- **The Joint Staff J-5 is responsible for the JSR process**, including preparing administrative guidance, and managing and organizing the JSR. The J-5 prepares the Long-Range Vision Paper, JSR Issue Papers, and the JSR Annual Report.

- The Joint Staff J-8 prepares, in collaboration with the combatant commanders, Services, and other Joint Staff directorates as appropriate, estimated force structure with alternatives that broadly support proposed changes to the NMS. These documents include appropriate strategic, nonstrategic, and defensive force structures; alternatives; and recommendations for use in the development of military plans to effectively support the NMS. Force apportionment guidance to be used in other JSPS documents (e.g., the JSCP) is included. Comparative analyses of force structure effectiveness, capabilities, and alternatives are furnished as constrained strategies and military options are assessed.

(2) **National Security Strategy (NSS).** The NSS is signed by the President and contains strategic guidance concerning the continued security and prosperity of the United States. Its main philosophy is rooted in the belief that the United States cannot live as an isolationist (in peace or war) and that U.S. well being depends on the stability of other nations. **Thus, the U.S. NSS is a strategy of active engagement throughout the world.** U.S. engagement abroad is carried out through the four elements of national power – diplomatic, informational, military, and economic (DIME). Each of these elements, in and of itself, cannot be the sole answer to U.S. engagement strategy abroad. Each element must be applied in concert with and in a manner complementary to each of the other three. It is the duty of the joint officer not only to understand the intricate relationship among the elements of national power, but also to be especially well schooled in the application of the military element of national power in support of national objectives. The key to success for America’s military is not only knowing how to apply military power, but also knowing when to apply it, and most important, how the application of military power can enable achievement of national objectives.

(3) **National Military Strategy (NMS) – JSPS.** The NMS furnishes to the President, NSC, and Secretary of Defense the advice of CJCS, in consultation with the other members of the Joint Chiefs of Staff and the combatant commanders, as to the recommended national military strategy and fiscally constrained force structure required to support attainment of national security objectives. The NMS assists the Secretary of Defense in preparing the Defense Planning Guidance (DPG) and guiding the development of the Joint Strategic Capabilities Plan (JSCP). The NMS is forwarded to the Secretary of Defense for his review and then to the President. It may be used to determine the CJCS position on matters of strategic importance regarding NCA-directed actions. The NMS also furnishes supporting documentation to the Secretary of Defense for consideration during preparation of the DPG, and to the Services for consideration during development of the Program Objective Memorandums (POMs). In 1992 the NMS was published in an unclassified format for the first time. The intent now is to publish the NMS “as needed” based on NSS changes when changes in the strategic environment dictate a need to modify the national strategy. The NMS contains

- a contextual setting, summarized from the JSR, that includes an appraisal of U.S. defense policy, as stated in the current DPG, and recommendations for change;
- an updated intelligence appraisal, extracted from the JSR, that describes the range of threats to U.S. national security;
- a description of ways to achieve U.S. national security objectives, including discussion of the threats to U.S. security interests;
- a description of the strategic landscape; and
- recommended fiscally constrained force levels, developed in collaboration with the Services and combatant commanders, that are required in order to achieve the strategic objectives with acceptable risk.

(4) **Joint Vision 2020 (JV2020).** JV2020 provides strategic direction for the military Services in developing the proper military forces to meet the future threat. JV2020 outlines concepts such as Overseas Presence, Power Projection, Decisive Force, and Strategic Agility that guide the Service chiefs during decisions concerning the future of the military and its resources. JV2020 also provides the tenets of Dominant Maneuver, Focused Logistics, Precision Engagement, and Full Dimensional Protections as stated ends, to guide the military as it selects ways and means for the future.

(5) **Joint Planning Document (JPD) – JSPS.** The *Joint Planning Document* (JPD) supports the National Military Strategy by furnishing planning and broad programming recommendations and advice to the Secretary of Defense for consideration during preparation of the Defense Planning Guidance (DPG). The JPD is a stand-alone document published in a series of chapters covering specific functional areas. The JPD supports the strategy and force structure for the defense planning period. It is intended to furnish insight on CJCS priorities in development of the defense program for the affected FYDP. It is prepared and submitted approximately six months in advance of the scheduled publication of the DPG. The following chapters (see table below) are typically contained in the JPD.

(6) **Defense Planning Guidance (DPG) – PBS.** The DPG issues guidance from the Secretary of Defense to the military departments for development of their Program Objective Memorandums (POMs) for the defense planning period. The DPG includes major planning issues and decisions, strategy and policy, strategic elements, the Secretary's program planning objectives, the Defense Planning Estimate, the Illustrative Planning Scenarios, and a series of studies. **The DPG is the major link between the JSPS and the PPBS.** Since CJCS does not have directive authority over the Services, and most important their money, the DPG is the Secretary's authoritative guidance to the Services to ensure the incorporation of DOD-wide concerns into the POMs.

JPD Chapters

| CHAPTER | TITLE | JS LEAD |
|---------|--|---------|
| 1 | Manpower and Personnel | J-1 |
| 2 | Joint Readiness | J-3 |
| 3 | Command and Control | J-6 |
| 4 | Weapons of Mass Destruction | J-5 |
| 5 | Intelligence, Surveillance, and Reconnaissance | J-2 |
| 6 | Information Operations | J-3 |
| 7 | Interoperability | J-7 |
| 8 | Strategic Mobility and Sustainability | J-4 |
| 9 | Theater Engagement – Overseas Presence | J-5 |
| 10 | Future Capabilities | J-8 |

(a) The Under Secretary of Defense for Policy (USD(P)) takes the lead in drafting the DPG, considering the previous year's DPG, Program Decision Memorandums (PDMs), and the budget, along with the NMS. The DPG Steering Group, chaired by the Deputy USD(P), helps develop and coordinate the DPG. DPG development relies on extensive dialogue between OSD, the Joint Chiefs of Staff, the combatant commanders, and the Services.

(b) As chapters of the DPG are drafted, they are circulated to the military departments and others for review and comment. The Services use the draft DPG as guidance to begin development of their programs. The Joint Chiefs of Staff, the combatant commanders, and the Defense Resources Board (DRB) review the draft DPG until the final version is issued. The DRB was established as an oversight organization to improve the efficiency and effectiveness of the PPBS process. The DRB ensures that fiscal and other guidance are followed at all levels. This powerful group is actively involved in every step of the PPBS process. The board, chaired by the Deputy Secretary of Defense, also serves as the major arbiter of fiscal issues leading to development of the DOD budget.

(7) **Joint Strategic Capabilities Plan (JSCP) – JSPS.** The Joint Strategic Capabilities Plan (JSCP) contains guidance to the CINCs and Service Chiefs for accomplishing military tasks and missions based on current military capabilities. These assignments take into account the capabilities of available forces, intelligence information, and guidance issued by the Secretary of Defense. The JSCP directs the development of contingency plans to support national security objectives by assigning planning tasks and

apportioning major combat forces and strategic lift capability to the combatant commanders. As a capabilities planning document, it represents the last phase of resource management. It apportions the resources provided by the PPBS to develop operation plans.

The JSCP constructs a coherent framework for giving capabilities-based military advice to the NCA.

(1) The JSCP is designed to be a “living document” that is reviewed as needed. As a result of such reviews, the Joint Staff J-5 initiates appropriate changes resulting from force structure modification and changes to the strategic environment, or, if there is no need to revise the JSCP, publishes a directive requiring CINC revalidation of operation plan requirements.

(2) The JSCP is the principal vehicle that assigns tasks to the combatant commanders to develop operation plans, Concept Plans with or without Time-Phased Force and Deployment Data (TPFDD), Theater Engagement Plans (TEP), and functional plans using deliberate planning procedures described in detail in Chapter 4 following. The JSCP gives strategic planning guidance and direction for plans to be developed between 12 and 18 months following its distribution. It consists of a single volume that covers planning guidance, objectives, tasks, and major force apportionment for planning. Major combat forces expected to be available during the planning period include both Active and Reserve forces under various conditions of mobilization. The JSCP supplemental guidance, published separately as 14 CJCS Instructions, furnishes planning guidance, capabilities, and amplification of tasks assigned for planning in specified functional areas:

| | |
|---------------|--|
| CJCSI 3110.02 | Intelligence |
| CJCSI 3110.03 | Logistics |
| CJCSI 3110.04 | Nuclear |
| CJCSI 3110.05 | Psychological Ops |
| CJCSI 3110.06 | Special Ops |
| CJCSI 3110.07 | Chemical Warfare; Nuclear, Biological, and Chemical Defense; Riot Control Agents and Herbicides |
| CJCSI 3110.08 | Geospatial Information and Services |
| CJCSI 3110.09 | Command and Control Warfare (C2W) |
| CJCSI 3110.10 | Command, Control, Communications, and Computer Systems (C4 Systems) |
| CJCSI 3110.11 | Mobility |
| CJCSI 3110.12 | Civil Affairs |
| CJCSI 3110.13 | Mobilization |
| CJCSI 3110.15 | Special Technical Operations |
| CJCSI 3110.16 | Consequence Management |

c. **Programming.** In January, the President approves Fiscal Forecasts and Guidance (FFG) developed by the Office of Management and Budget (OMB) and sends it to

the Office of the Secretary of Defense (OSD) and the Services. The FFG furnishes fiscal guidance that the Services need to develop realistic programs within fiscal constraints.

(1) **Program Objective Memorandums (POMs).** The military departments and Special Operations Command (SOCOM) send POMs to the Secretary of Defense in the spring of even-numbered years. **These POMs should be in direct compliance with guidance issued by the Secretary of Defense in the DPG.** These identify major issues that must be resolved during the year of submission. Supporting information for the POMs is published per the annual POM preparation instructions.

(a) The combatant commanders submit their requirements to the Services through their components during POM development. The CINCs also send their highest priority needs to the Secretary of Defense and CJCS in the CINCs' Integrated Priority Lists (IPLs). The Services are required to include special annexes that show how their POMs respond to the needs of the CINCs, in particular the CINCs' individual IPLs, and the CINCs have the opportunity to review all POMs to ensure that the Services have considered their needs.

(b) POMs are based on the strategic concepts and guidance stated in the DPG and include an assessment of the risks associated with current and proposed force and support programs. POMs express total program requirements for the years covered in the DPG. They also describe the rationale for proposed changes to the force approved by the Secretary of Defense as reflected in the Future-Years Defense Program (FYDP). The FYDP is the official database of all military establishment programs approved by the Secretary of Defense, structured as depicted in **Figure 2-5**. It is updated formally three times during the cycle shown in **Figure 2-6**.



Figure 2-5

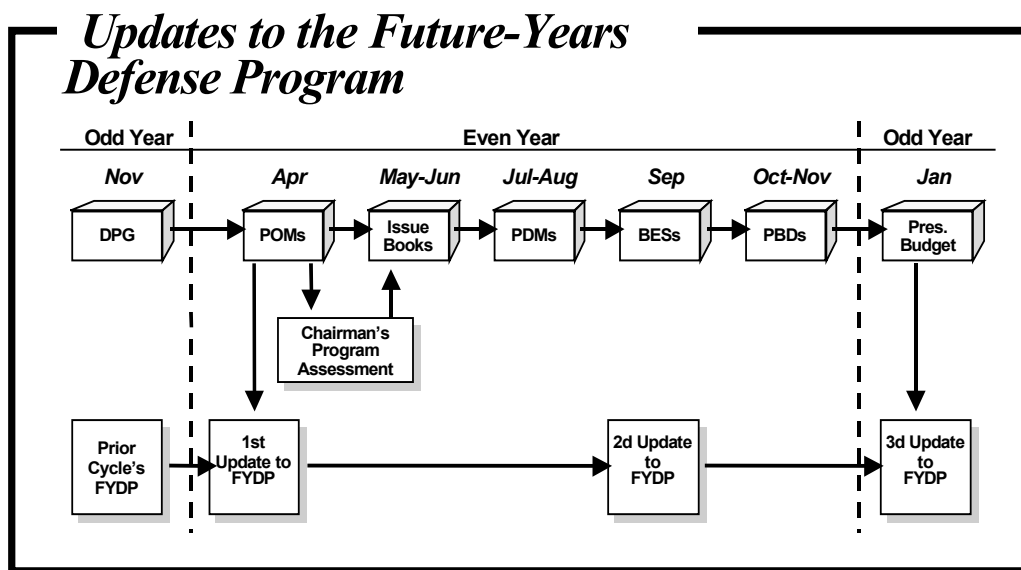


Figure 2-6

(c) At the behest of Congress, the Secretary of Defense began submitting two-year budgets starting in FY89 with the FY89-90 budget. Congress, however, has not changed its traditional practice of working out the budget annually. To remain synchronized with Congress, DOD complies with the original annual budget timetables, but, in keeping with the spirit of the two-year budget, doesn't introduce new items in the "off-year" budget of each cycle. Instead, DOD refines the figures submitted the year before. See Figure 2-7.

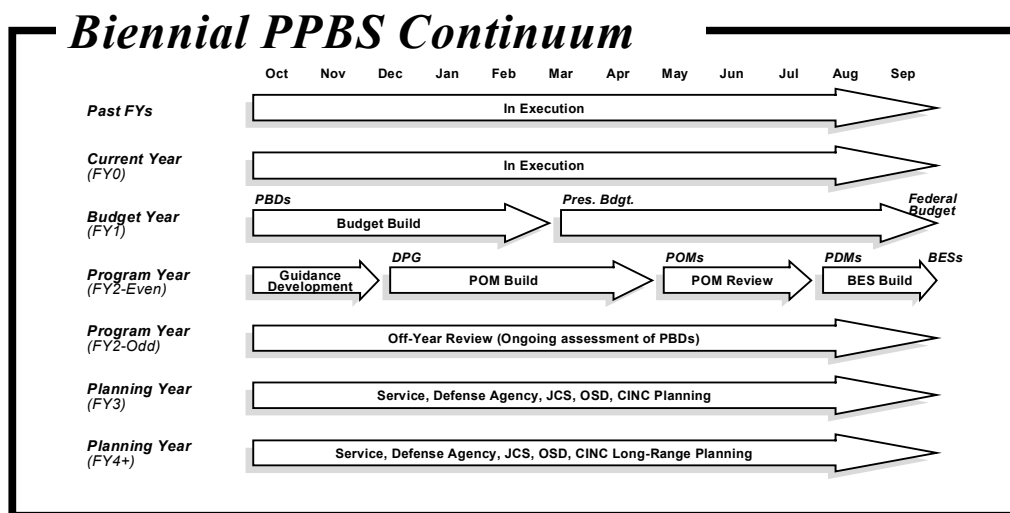


Figure 2-7

(2) **Chairman's Program Assessment (CPA) – JSPS.** The Chairman's Program Assessment (CPA) is CJCS's assessment of the composite POM. It summarizes the views of CJCS on the balance and capabilities of the POM force and support levels required to attain U.S. national security objectives. In addition, the CPA assists the Chairman in fulfilling his statutory duty to do the following:

- advise the Secretary of Defense on the extent to which the program recommendations and budget proposals of the military departments and other components of the Department of Defense conform to the priorities established in strategic plans and support the priorities established for the requirements of the combatant commanders

- submit to the Secretary of Defense alternative program recommendations and budget proposals, within projected resource levels and guidance furnished by the Secretary, to achieve greater conformance with established priorities

- advise the Secretary of Defense on the extent to which the major manpower programs and policies of the Armed Forces conform to strategic plans

(a) The CPA assesses how well strategic guidance and the POMs submitted by the military departments, USSOCOM, and defense agencies conform to national military defense priorities and strategic guidance. When appropriate, it may contain alternative recommendations and proposals to improve conformance with strategic guidance or the CINC's priorities.

(b) CPA development is an iterative process that begins before the POMs are published and ends when critical issues are identified for inclusion in the CPA. Services, CINCs, agencies, and the Joint Staff are involved throughout the process. This coordination is essential to identify and properly develop specific issues appropriate for CJCS to bring before the Secretary of Defense formally. Documents considered in CPA development include POM preparation instructions, OSD Fiscal Guidance, the DPG, the POMs themselves, the NMS, the JPD, the JROC-JWCA, the JMRR, the CINCs' IPLs, the Combat Support Agency Responsiveness and Readiness Report, etc.

(3) **Issues – PPBS.** The OSD staff prepares a set of potential issues, i.e., alternatives to some of the programs included in the POMs. The CINCs and OMB prepare other potential issues. The Program Review Group (PRG) examines all potential issues, resolving many issues at the PRG level, and agrees on a set of issues to be considered by the Defense Resources Board (DRB). The DRB makes the final selection from the list of candidates; those selected as a formal briefing to the DRB or as issue books, sometimes called program review books, are prepared, staffed through the CINCs and Services for comment, and forwarded to the DRB for a decision. The Services formulate the issue papers, and the Chairman and other members of the Joint Chiefs of Staff and the CINCs also supply inputs. Each issue paper consists of a discussion section followed by alternatives. The individual issues are combined into issue books (IB), sometimes called main

issues or program review books. Issue books are circulated to other OSD staff, the Joint Chiefs of Staff, the CINCs, and the Services for review and comment. The DRB, the DOD's "board of directors," considers the books, with comments to facilitate the decision process.

(4) **Program Decision Memorandums (PDMs) – PPBS.** The DRB has many meetings over a two-to-three-week period to consider the Issue Books and resolve the issues. The CINCs are invited to the meetings that consider their issues. The Service Chiefs and VCJCS may attend DRB meetings. Each Issue Book is the subject of one two-to-three-hour meeting, after which the Deputy Secretary of Defense reaches a tentative decision. After all the Issue Books have been individually reviewed, a wrap-up meeting is held to evaluate the total effect of the tentative decisions on the program. Open issues are resolved and final decisions are reached and recorded in PDMs during early August.

d. **Budgeting**

(1) **Budget Estimates Submission (BES) – PPBS.** Each of the military departments and defense agencies forwards its Budget Estimates Submission (BES) to the Office of the Assistant Secretary of Defense (Comptroller) (ASD(C)). The BES is traditionally due in September. It includes data for the prior year, current year, budget year, and budget year plus one (more for authorized programs) per the Budget Guidance Manual and supplementary memorandums. Budget estimates are prepared and submitted based on the approved program as well as current economic assumptions contained either in the PDMs or in detailed budget guidance issued each year. On receipt of the submission, the comptroller's program and budget office begins the joint OSD and OMB hearings to review the submission. Appropriate members of the Joint Staff and OSD staffs attend these hearings, jointly conducted by OSD and OMB representatives. The military departments make presentations concerning their submissions and respond to questions. The DRB meets when appropriate.

(2) **Program Budget Decisions (PBDs) – PPBS.** Budget submission hearings are held to obtain additional information needed to draft Program Budget Decisions (PBDs). The entire budget is reviewed to ensure that the requests are properly priced, program schedules are appropriate, and estimates are consistent with the objectives of the Secretary of Defense. PBDs document approval of the estimates for inclusion in the President's Budget. These decisions evaluate, adjust, and approve all resources in the budget request. Although the responsible budget analyst has the lead in developing the PBD, other OSD staff personnel furnish appropriate recommendations and support. When each individual PBD is written, it is coordinated with OMB and the under secretaries and assistant secretaries of defense. Each PBD consists of a discussion of the area, issues, and a series of alternatives. PBDs are sent with a covering memorandum that identifies any unresolved issues to the Deputy Secretary of Defense, who then chooses one of the alternatives or directs a new one, and the signed PBD goes to the appropriate military department and CINCs.

(a) If a military department appeals a PBD, the appeal is processed through the same channels as was the PBD, and the Deputy Secretary of Defense makes the final decision. The military department secretaries and Service chiefs have an opportunity as near the end of the review cycle as possible to discuss with the Secretary of Defense the major budget issues that merit his personal review. During this phase of PPBS, the Joint Chiefs of Staff and CINCs assess the impact of PBDs on warfighting capabilities of the combatant commands. They present their concerns to CJCS, who discusses them with the Secretary of Defense as appropriate. While the formal PPBS process has not changed, the CINCs and the Joint Staff are becoming increasingly influential in the program and budgeting choices.

(b) Since the mid-1980s, the role of the CINCs in resource management has increased significantly, as shown by **Figure 2-8**. PPBS has become much more responsive to the needs of the CINCs. The Commander in Chief, U.S. Special Operations Command, is the only combatant commander who actually submits a budget.

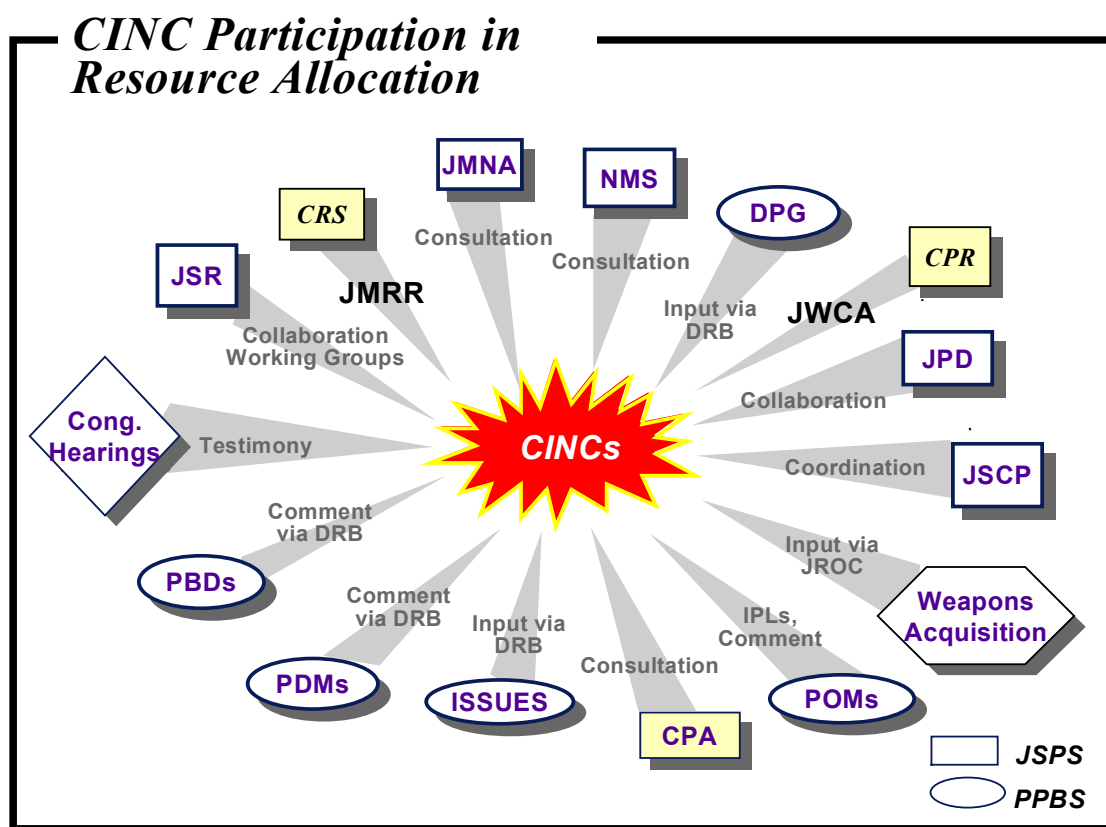


Figure 2-8

(3) **Defense Budget PPBS.** If, at the end of the PPBS process, OMB or DOD feels that unresolved differences remain, the Secretary of Defense and Director, OMB, raise these issues when they meet with the President. Once the final budget decisions are made, the DOD budget becomes a part of the President's budget that is submitted to the Congress in January. Once the President signs the congressional appropriations act into law, OMB can begin apportioning funds to the federal departments. The Services execute the budget and procure new forces and capabilities, and the CINCs develop, maintain, and prepare to execute their contingency plans (See **Figure 2-9**).

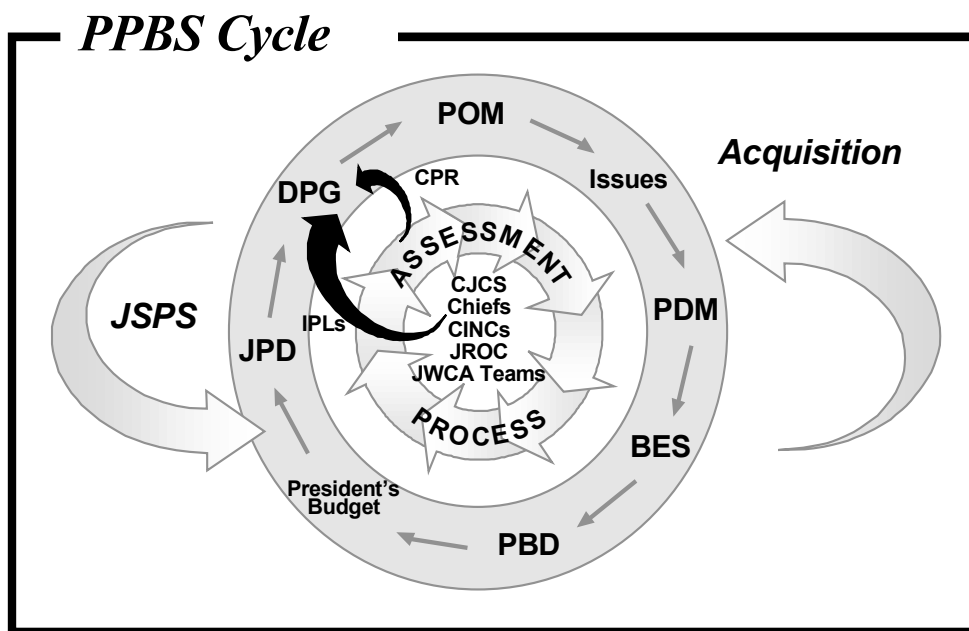


Figure 2-9

f. **JSPS-Related Assessments and other Key Documents.** The following assessment list contains critical JSPS-related information.

(1) **Joint Net Assessment (JNA).** The Chairman will assess current U.S. and allied forces and will compare them with the capabilities of potential adversaries. The JNA process provides the mechanism to assess force strengths and deficiencies in the context of the U.S. ability to meet national security objectives. Strengths and deficiencies are assessed in terms of their effect on strategic plans. This informal process is conducted with the full participation of the CINCs and Services. The JNA process provides a strategic-level risk assessment and provides the basis for developing risk associated with alternative force structures and strategies.

(2) **The Chairman's Readiness System (CRS) (J-3).** The CRS, depicted in **Figure 2-10**, looks at current strategy and assesses areas judged important to joint warfare. When deficiencies exist, they are looked at in more detail in concert with the uni-

key relationships and interactions between joint warfighting capabilities, and identify opportunities for improving warfighting effectiveness. The continuous assessment process gives insight into issues involving requirements, readiness, and plans to recapitalize joint military capabilities. Findings are presented to CJCS, the JROC, and the CINCs. The final assessment products are used to influence programming and budget guidance and to develop joint requirement resource recommendations. The JWCA is the major source for developing the Chairman's Program Recommendations (CPR).

(5) **Chairman's Program Recommendations (CPR) (J-8).** The CPR contains CJCS's recommendations to the Secretary of Defense for future programs. The recommendations represent the Chairman's view of programs important for creating or enhancing joint warfighting capabilities. The recommendations are intended for consideration while developing the Defense Planning Guidance. Services, unified commands, and the Joint Staff are involved throughout the process. CINC inputs are solicited to make the CPR a better tool during DPG development.

(6) **Contingency Planning Guidance (CPG)** fulfills the statutory duty of the Secretary of Defense to furnish written policy guidance annually to the Chairman of the Joint Chiefs of Staff for contingency planning. The Secretary issues this guidance with the approval of the President after consultation with the Chairman of the Joint Chiefs of Staff. The CPG focuses the guidance given in the NSS and DPG, and is the principal source document for the JSCP.

204. SUMMARY OF STRATEGY AND RESOURCES

History is replete with examples of operations undertaken without understanding their strategic implications. If the North African campaign undertaken by the Germans in World War II had been given adequate resources, then Rommel's drive to the Suez might well have resulted in a significant strategic victory instead of an operational failure that had critical strategic results. In Vietnam, the United States had many operational successes but failed to achieve strategic victory. The United States' overwhelming victory during DESERT STORM is usually used as an example of appropriate application of strategic art. But even in victory, the United States has remained engaged militarily (as of this writing it has been ten years) with Iraq. The Iraqi situation is so complex that the strategic objectives of the United States have not yet been achieved. As discussed in the introduction, the joint operation planner must be well schooled in the skillful balancing of ends, ways, and means. Whether developing plans to attain resources, support the strategy of engagement, or win a conflict, the joint planner must understand and consider the implications, interactions, and workings of all of the systems previously detailed. Only by the appropriate application of strategic art will the military be able to do its part to ensure the continued security and prosperity of the United States.